

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: UBS FINANCIAL SERVICES INC.Application No./Patent No.: 09/688392 Filed/Issue Date: October 16, 2000Entitled: SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-TAXABLE SECURITIESUBS FINANCIAL SERVICES INC., a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest in;
2. ☐ an assignee of less than the entire right, title and interest in  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %); or
3. ☐ the assignee of an undivided interest in the entirety of (a complete assignment from one of the joint inventors was made)

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:

1. From: INVENTOR(S) To: PAINWEBBER INCORPORATEDThe document was recorded in the United States Patent and Trademark Office at  
Reel 011255, Frame 0548, or for which a copy thereof is attached.2. From: INVENTOR(S) To: PAINWEBBER INCORPORATEDThe document was recorded in the United States Patent and Trademark Office at  
Reel 013271, Frame 0809, or for which a copy thereof is attached.3. From: PAINWEBBER INCORPORATED To: UBS PAINWEBBER INC.The document was recorded in the United States Patent and Trademark Office at  
Reel 013272, Frame 0585, or for which a copy thereof is attached.☒ Additional documents in the chain of title are listed on a supplemental sheet(s).☒ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

/Jack S. Barufka/

Signature

November 19, 2012

Date

Jack S. Barufka

Printed or Typed Name

Appointed Practioner

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Applicant/Patent Owner: UBS FINANCIAL SERVICES INC.  
Applicant/Patent No.: 09/688392  
Entitled: SYSTEM AND METHOD FOR TRADING TAXABLE AND NON-TAXABLE SECURITIES  
Name of Assignee: UBS FINANCIAL SERVICES INC.

**SUPPLEMENTAL SHEET TO STATEMENT UNDER 37 CFR 3.73 (b)**  
**Additional Documents in the Chain of Title**

The following is a continuation of the chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

4. From: UBS PAINWEBBER, INC. To: UBS FINANCIAL SERVICES INC.  
The document was recorded in the Patent and Trademark Office at  
Reel 014467, Frame 0783, or for which a copy thereof is attached.
5. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
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